61581 U.S. PTO
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03/07/97

MAIL ROOM
MAR 7 1997
PAT. & TRADEMARK OFFICE

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

DOCKET NUMBER	ANTICIPATED CLASSIFICATION OF THIS APPLICATION:		PRIOR APPLICATION	
	CLASS	SUBCLASS	EXAMINER	ART UNIT
6002.03			A. Park	2316

CERTIFICATE UNDER 37 CFR 1.10:
"Express Mail" mailing label number: EM297038466US
Date of Deposit: March 7, 1997

I hereby certify that this paper or fee is being deposited with the U.S. Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to Assistant Commissioner for Patents, Washington, D.C 20231.

By. Isabell Ogata
Name: Isabell Ogata

REQUEST FOR FILE WRAPPER CONTINUING APPLICATION UNDER 37 C.F.R. § 1.62

Box FWC
Assistant Commissioner for Paten sz
Washington, DC 20231

Dear Sir:

This is a request for filing a File Wrapper Continuation application under 37 CFR § 1.62 of prior pending patent application Serial No. 08/217,065, filed on March 24, 1994 entitled AUTOMATED RESOURCE MANAGEMENT SYSTEM by the following inventor:

Full Name Of Inventor	Family Name	First Given Name	Second Given Name
	Siefert	David	M.
Residence & Citizenship	**City**	**State or Foreign Country**	**Country of Citizenship**
	Englewood	Ohio	U.S.A.
Post Office Address	**Post Office Address**	**City**	**State & Zip Code/Country**
	4519 Sweet Potato Ridge Road	Englewood	Ohio 45322/U.S.A.

The above-identified prior application in which no payment of the issue fee, abandonment of, or termination of proceedings has occurred, is hereby expressly abandoned as of the filing date of this new application. Please use all the contents of the prior application file wrapper, including the drawings, as the basic papers for the new application.

1. ☐ Enter the amendment previously filed on , but unentered, in the prior application.

2. ☒ A preliminary amendment is enclosed.

The filing fee is calculated below on the basis of the claims existing in the prior application as amended at 1 and 2 above:

CLAIMS AS FILED

NUMBER FILED	NUMBER EXTRA		RATE	FEE
TOTAL CLAIMS: 14 -20	0	x	$22	$0.00
INDEPENDENT CLAIMS 4 -3	1	x	$80	$80.00
			BASIC FILING FEE:	$770.00
			TOTAL FILING FEE:	$850.00

☐ A Verified Statement that this filing is by a small entity (37 CFR 1.9, 1.27, 1.28) is already filed in the prior application.

☐ A Verified Statement that this filing is by a small entity (37 CFR 1.9, 1.27, 1.28) is attached.

3. ☒ Payment of fees:
   ☐ Attached is a check in the amount of $.
   ☒ Please charge filing fee of this application to Deposit Account No. 14-0225 of NCR Corporation (formerly AT&T Global Information Solutions Company), the assignee of the present application. If, for any reason, fees cannot be charged to the Assignee's Deposit Account, please charge Deposit Account No. 13-2724 of Merchant & Gould. A duplicate copy of this sheet is enclosed.'

4. ☒ The Commissioner is hereby authorized to charge any additional fees as set forth in 37 CFR §§ 1.16 to 1.18 which may be required by this paper or credit any overpayment to Account No.14-0225.

5. ☒ Amend the specification by inserting before the first line the sentence:

"This is a Continuation of application Serial No. 08/217,065, filed March 24, 1994.

6. ☐ A new oath or declaration is included since this application is a continuation-in-part which discloses and claims additional matter.

7. ☐ Priority of application Serial No. , filed on in , is claimed under 35 U.S.C. 119.

8. ☐ The certified copy has been filed in prior application Serial No. , filed .

9. ☒ The prior application is assigned of record to AT&T Global Information Solutions Company..

10. ☒ The Power of Attorney in the prior application is to: Douglas S. Foote of Dayton, Ohio, Reg. 31,013

Douglas Foote, Esq.
Law Department, Intellectual Property Section
NCR Corporation
101 W. Schantz Avenue, ECD-2
Dayton, Ohio 45479-0001

11. ☒ A petition and fee has been filed to extend the term in the prior application until March 7, 1997. A copy of the petition for extension of time in the prior application is attached.

12. ☐ The inventor(s) in this application are less than those named in the prior application and it is requested that the following inventors identified above for the prior application be deleted:

13. ☐ Also Enclosed:

16. ☒ Address all future communications to the **Attention of Douglas S. Foote, Esq.** (may only be completed by attorney or agent of record) at the address below.

17. ☒ A return postcard is enclosed.

By: _____

George H. Gates
Registration No. 33,500
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DOCKET NO. 1565.1000/GHG

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08813714
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PATENT

MAIL ROOM
MAR 7 1997
PAT. & TRADEMARK OFF.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: David M. Siefert | Examiner: A. Park

Serial # : | Group Art Unit: 2316

Filed : | Docket: 6002.03

Title : AUTOMATED RESOURCE MANAGEMENT SYSTEM

PRELIMINARY AMENDMENT

Assistant Commissioner
For Patents
Washington, D.C. 20231

Dear Sir:

Before first Action on this application, please amend claims 1-14 as follows:

1. (Twice Amended) A RESOURCE management system, comprising:

(a) [multiple] a plurality of SERVERs [, the SERVERs being] grouped into LOCAL SERVERs and REGIONAL SERVERs, each of the LOCAL SERVERs comprising means for storing RESOURCEs therein, and each of the REGIONAL SERVERs comprising means for storing Profiles of RESOURCEs [associated with] stored in one or more of the LOCAL SERVERs therein, wherein the LOCAL and REGIONAL SERVERs are linked together for electronically transferring PROFILEs and RESOURCEs therebetween; and

(b) one or more PCs coupled to one or more of the SERVERs, each of the PCs comprising:

(i) means for storing PROFILEs of RESOURCEs into one or more of the REGIONAL SERVERs;

(ii) means for searching all of the PROFILEs in all of the REGIONAL SERVERs; and

(iii) means for accessing a RESOURCE from any one of the LOCAL SERVERS based on the searched PROFILEs.

2. (Twice Amended) A system according to claim 1, wherein each of the PCs further comprises :

(iv) means for storing a downloadable RESOURCE into [its respective] one or more of the LOCAL SERVERs.

3. (Twice Amended) A system according to claim 2, wherein each of the PCs further comprises:

(v) means for downloading any of the RESOURCEs contained in any of the LOCAL SERVERs into the PC.

4. (Twice Amended) A system according to claim 1, wherein the REGIONAL SERVERs further comprise:

(c) means for storing a PROFILE which contains information about a user of a SERVER; and

(d) means for restricting the user's access to RESOURCEs based on [data] the information contained in the user's PROFILE.

5. (Twice Amended) A RESOURCE management system, comprising:

(a) [multiple] one or more LOCAL SERVERs, each of the LOCAL SERVERs comprising means for storing RESOURCEs therein; and

(b) one or more REGIONAL SERVERs, each of the REGIONAL SERVERs comprising means for storing PROFILEs of RESOURCEs [associated with] stored in one or more of the LOCAL SERVERs;

(c) means for electronically linking the LOCAL and REGIONAL SERVERs together, so that PROFILEs and RESOURCEs can be transferred therebetween;

(d) one or more PCs coupled to one or more of the SERVERs, each of the PCs comprising:

(i) means for storing PROFILEs of RESOURCEs into one or more of the REGIONAL SERVERs; and

(ii) means for searching all of the PROFILEs in all of the REGIONAL SERVERs.

6. (Twice Amended) A RESOURCE management system, comprising:

(a) [multiple] a plurality of SERVERs [, the SERVERs being] grouped into LOCAL SERVERs and REGIONAL SERVERs, each of

the LOCAL SERVERs comprising means for storing RESOURCEs therein, and each of the REGIONAL SERVERs comprising means for storing PROFILEs of RESOURCEs [associated with] stored in one or more of the LOCAL SERVERs [therein] , wherein the LOCAL and REGIONAL SERVERs are linked together for electronically transferring PROFILEs and RESOURCEs therebetween,

(i) each of the LOCAL SERVERs serving one or more PCs; and

(ii) each of the REGIONAL SERVERs storing a catalog of PROFILEs [, which] that describe RESOURCES; and

(b) search means, performed by each of the PCs, for searching any of the PROFILEs [contained] stored in any of the REGIONAL SERVERs and for accessing a RESOURCE [from] stored in any one of the LOCAL SERVERS based on the searched PROFILEs.

7. (Twice Amended) A system according to claim 6, wherein the search means comprises means for Boolean key-word searching of the PROFILEs contained in any of the REGIONAL SERVERs.

8. (Twice Amended) A system according to claim 6, wherein the search means for ordering a search of any of the PROFILEs to be performed at a future time.

9. (Twice Amended) A method of managing RESOURCEs, comprising the following steps:

(a) logically grouping a plurality of SERVERs into LOCAL SERVERs and REGIONAL SERVERs;

(b) storing the RESOURCEs at one or more of the LOCAL SERVERs;

(c) storing PROFILEs for the RESOURCEs at one or more of the REGIONAL SERVERs, each PROFILE containing information relating to its RESOURCE;

(d) allowing a user to search, from a single site, all of the PROFILEs stored in the REGIONAL SERVERs; and

(e) allowing the user to access, from the single site, a RESOURCE from any one of the LOCAL SERVERS based on the [searched] PROFILEs <u>searched in the REGIONAL SERVERs</u>.

10. (Twice Amended) A method according to claim 9, wherein:

(1) some of the RESOURCEs [take the form of] <u>comprise</u> downloadable [computer] data; and

(2) some of the RESOURCEs [take the form of information] <u>comprise data</u> which is not downloadable.

11. (Twice Amended) A method according to claim 10, wherein some of the RESOURCEs [take the form of] comprise physical objects.

12. (Twice Amended) A method according to claim 9, wherein some of the RESOURCEs take the form of downloadable data, and the method further comprises the step of allowing a user to download [selected] the downloadable [RESOURCEs] data from one of the LOCAL SERVERs to the user's site.

13. (Twice Amended) A method according to claim 9, wherein all of the PROFILEs are stored [at] in a single REGIONAL SERVER.

14. (Twice Amended) A method according to claim 9, wherein multiple collections of the PROFILEs are each stored [at] in different REGIONAL SERVERs, and each collection contains substantially all of the PROFILEs.

REMARKS

I. Introduction

Preliminary to a first Office Action after the File Wrapper Continuation in the above-identified patent application, Applicant requests entry of the above amendments to claims 1-14. Claims 1-14 are in the application. Re-examination and re-consideration of the application, as amended, are requested.

II. Rejections Based on Prior Art

A. The Office Action Rejections

In paragraphs (1)-(2) of the final Office Action mailed October 7, 1996, claims 1-5 and 9-14 were rejected under 35 U.S.C. §103 as being unpatentable over James M. Bloom, "Experience Implementing BIND, A Distributed Name Server for the DARPA Internet," (Bloom) in view of U.S. Patent No. 5,187,790 to East. In paragraph (3) of the final Office Action mailed October 7, 1996, claims 6-8 were rejected under 35 U.S.C. §103 as being unpatentable over Bloom in view of U.S. Patent No. 5,303,379 to Khoyi.

The Applicant respectfully traverses these rejections in light of the amendments above and the arguments below.

B. The Applicant's Invention as Recited in Claims 1-14

The Applicant's invention as recited in claims 1-14 comprises a method and system for performing automated resource management. A plurality of servers are grouped into local servers and regional servers. Each of the local servers stores resources, while each of the regional servers stores profiles of resources associated with the local servers. The local and regional servers are linked together so that profiles and resources can be electronically transferred therebetween. The system also includes one or more PCs coupled to the servers. Each of the PCs can store profiles of resources on the regional servers, can search all of the profiles in all of the regional servers, and can access a resource from any of the local servers based on the profiles searched in the regional servers.

C. The Bloom Reference

The Bloom reference discloses a distributive computer system where multiple servers are connected on a domain tree (Figure 2). Larger area servers (Edu, Com) are responsible for the domain of smaller servers (Berkeley, Xerox) that are on the same branch of the domain tree. The larger area servers act as a quick router for requests of servers that are farther down the branches of their domain.

D. The Khoyi Reference

The Khoyi reference discloses a link mechanism for linking data between objects and for performing operations on the linked data in an object-based system. The object-based system includes an extensible set of object types and a corresponding set of object managers, wherein each object manager is a program for operating with the data stored in a corresponding type of object.

E. The East Reference

The East reference discloses a system for determining the rights of object access for a server process that combines them with the rights of client process. A server process temporarily impersonates the characteristics of a client process when the client process performs a remote procedure call on the server process. Each process has an identifier list with a plurality of identifiers that characterize the process. The server process generates a new identifier list which is either the same as the client process' list or is the union of the server's and the client's lists. Each object in the system can have an access control list which defines the identifiers that a process must have in order to access the object. The operational system has access checking software for enabling a selected process access

to a specified object when the identifiers for the process match the list of identifiers in the access control list of the specified object. The server can therefore access all objects accessible to the client while the server is working for the client. The server can restore its original identifier list after completing the services that it performs for the client.

F. The Combination of References as Compared to the Applicant's Claims 1-14

The Applicant respectively traverses the rejections in light of claims 1-14. The references, taken individually or in any combination, do not teach or suggest the novel elements of the Applicant's independent claims 1, 5, 6, and 9. More specifically, the combined references do not teach or suggest the Applicant's claimed limitations directed to each of the regional servers storing profiles of resources associated with the local servers. Further, the combined references do not teach or suggest the Applicant's claimed limitations directed to local and regional servers being linked together for electronically transferring profiles and resources therebetween.

The Bloom reference does not teach or suggest the Applicant's claimed limitation of storing profiles of resources associated with the local servers. While Bloom does teach

distributed multiple servers with a tree structure at page 174, it teaches away from storing profiles of resources associated with the local servers.

Bloom does not teach or suggest that any of the servers contain profiles that contain descriptive information about one of the resources stored in any of the other servers in the tree. Bloom merely discusses a naming convention which allows one server to access another, not a means for locating information on another server as in the present invention.

Further, the naming convention of Bloom is not analogous to the profiles of the present invention. The Bloom naming convention is a linked list of pointers, not a single pointer from the large area (e.g. regional) server (Edu) to the smaller area (e.g. local) server (LCS). Even if Bloom did show a single pointer from the large area server to the small area server, the pointer does not disclose the information stored on the small area server.

Further, Bloom does not teach or suggest the Applicant's claimed limitations directed to electronically transferring profiles and resources between local servers and regional servers. Further still, Bloom does not teach or suggest the Applicant's claimed limitations directed to means for searching all of the profiles in all of the regional servers. Finally,

Bloom does not teach or suggest the claimed limitations directed to accessing a resource from any one of the local servers based on profiles searched in the regional servers.

The East reference disclosure of access checking does not cure any of the deficiencies of the above-discussed deficiencies of Bloom. For example, East does not disclose or suggest the claimed feature of storing profiles of resources in regional servers, or the claimed feature of searching all of the profiles in all of the regional servers. Further, none of the references suggests that the modification to East indicated by the Office Action at page 4 would be desirable, or that such modification would cure the above-discussed deficiencies of Bloom.

The Khoyi reference also fails to cure the deficiencies of Bloom. For example, while it discloses a link mechanism for linking data between objects, it does not recognize the recited features of storing profiles of resources on regional servers, searching such profiles in all the regional servers, and transferring profiles and resources between local and regional servers.

The Applicant asserts that the claimed invention provides advantages over the cited prior art references, and would therefore not be obvious even if the references individually disclosed all the claimed elements. The Applicant's invention

provides a system for storing information in a manner in which retrieval is simplified, requiring only one call to a regional server to determine the resource associated with that server.

III. Conclusion

In conclusion, since independent claims 1-14 of the present application recite features which are not found in the references, the Applicant submits that the claims recite novel physical features which patentably distinguish over any and all references under 35 U.S.C. § 103. As a result, the Applicant respectfully requests the allowance of the present application without further delay.

In view of the above, it is submitted that this application is now in good order for allowance and such allowance is respectively solicited. Should the Examiner believe minor matters still remain that can be resolved in a telephone interview, the Examiner is urged to call the Applicant's undersigned attorney.

Respectfully submitted,

David M. Siefert

By his attorneys,

MERCHANT, GOULD, SMITH, EDELL
WELTER & SCHMIDT
11150 Santa Monica Blvd.
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Los Angeles, California 90025-3395
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Dated: March 7, 1997

By: _____
George H. Gates
Reg. No. 33,500

CERTIFICATE OF MAILING OR TRANSMISSION UNDER 37 CFR 1.10:
"Express Mail" mailing label number: EM297038466US
Date of Deposit: March 7, 1997

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By: _____
Name: Isabell Ogata

08/911,353 - 03/07/97